

The State of Connecticut

John G. Rowland, Governor



VIOLENCE IN THE WORKPLACE

Policy and Procedures Manual
for Human Resource Professionals

September 1999

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Attention: Risk Management***

VIOLENCE IN THE WORKPLACE Policy and Procedures Manual

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Overview

Violence in the Workplace Policy and Procedures Manual

Introduction

On June 16, 1998, Governor John Rowland announced a comprehensive statewide security initiative following a review of security measures in state buildings. This effort encompasses many initiatives, including the development of building risk classifications and security standards, providing guidelines for conducting hazard audits for state-owned and leased buildings, making building security improvements, drafting and deploying statewide policies and procedures, expansion of the Employee Assistance Program (EAP), and training. Implementation of these items is contingent upon funding. The first step of this program was to convene representatives from five state agencies: Public Safety (DPS), Administrative Services (DAS), Public Works (DPW), Policy and Management (OPM), and Mental Health and Addiction Services (DMHAS). The first task of this team was to obtain consensus on a zero tolerance workplace violence policy and guide DPW in the development of personnel procedures for handling incidents. The policy and procedures included herein were approved by those agencies and the Office of the Governor and reviewed by the Office of the Attorney General.

Purpose

The purpose of this *Violence in the Workplace Policy and Procedures Manual* is to provide direction to Human Resource (HR) personnel in preventing and/or responding to incidents of workplace violence or a perceived threat of violence in the workplace. Every agency in the executive branch and all elected state offices are expected to comply with these procedures.

The goal of the policy and manual is twofold:

1. To reduce the probability that employees will engage in verbal threats or physical actions that create a security hazard for others in the workplace, and
2. To ensure that any complaint of violence or the threat of violence is taken seriously and is thoroughly and promptly investigated.

This manual outlines the major components of this effort: policy, procedures, workplace security assessment, control and prevention, training and other support services. It is being issued statewide to ensure that matters are handled in a consistent fashion across agencies. Review this document, including the items in the appendices and implement this manual as is or modify your current policies and procedures so that they are in compliance with this manual. In those agencies where there may be a potential conflict with the contents of this document, interpretations will be assessed on a case-by-case basis. Questions regarding employment issues should be addressed to the Office of Labor Relations (OLR) at OPM.

Scope

The Violence in the Workplace Policy and Procedures Manual is available in Portable Document Format (PDF) and can be downloaded from the Office of Policy and Management website at the following address: <http://www.opm.state.ct.us/olr/wpv/wpv.htm>. This format will allow updates and new sections to be easily inserted. This document will be the basis of any training offered to HR professionals by DAS. The intent is for the training to address each of the areas in this manual in more detail, with emphasis on understanding the source of workplace violence, prevention, and determining the appropriate intervention.

STATE OF CONNECTICUT BY HIS EXCELLENCY

JOHN G. ROWLAND

EXECUTIVE ORDER NO. 16

WHEREAS, the State of Connecticut recognizes that workplace violence is a growing problem that must be addressed; and

WHEREAS, the State is committed to providing its employees a reasonably safe and healthy working environment, free from intimidation, harassment, threats, and /or violent acts; and

WHEREAS, violence or the threat of violence by or against any employee of the State of Connecticut or member of the public in the workplace is unacceptable and will subject the perpetrator to serious disciplinary action up to and including discharge and criminal penalties.

NOW, THEREFORE, I, John G. Rowland, Governor of the State of Connecticut, acting by virtue of the authority vested in me by the Constitution and by the statutes of this state, do hereby ORDER and DIRECT:

1. That all state agency personnel, contractors, subcontractors, and vendors comply with the following **Violence in the Workplace Prevention Policy**:

The State of Connecticut adopts a statewide zero tolerance policy for workplace violence.

Therefore, except as may be required as a condition of employment—

- No employee shall bring into any state worksite any weapon or dangerous instrument as defined herein.
- No employee shall use, attempt to use, or threaten to use any such weapon or dangerous instrument in a state worksite.
- No employee shall cause or threaten to cause death or physical injury to any individual in a state worksite.

Weapon means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon.

Dangerous instrument means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury.

Violation of the above reasonable work rules shall subject the employee to disciplinary action up to and including discharge.

2. That each agency must prominently post this policy and that all managers and supervisors must clearly communicate this policy to all state employees.

3. That all managers and supervisors are expected to enforce this policy fairly and uniformly.
4. That any employee who feels subjected to or witnesses violent, threatening, harassing, or intimidating behavior in the workplace immediately report the incident or statement to their supervisor, manager, or human resources office.
5. That any employee who believes that there is a serious threat to their safety or the safety of others that requires immediate attention notify proper law enforcement authorities and his or her manager or supervisor.
6. That any manager or supervisor receiving such a report shall immediately contact their human resources office to evaluate, investigate and take appropriate action.
7. That all parties must cooperate fully when questioned regarding violations of this policy.
8. That all parties be advised that any weapon or dangerous instrument at the worksite will be confiscated and that there is no reasonable expectation of privacy with respect to such items in the workplace.
9. That this order applies to all state employees in the executive branch.
10. That each agency will monitor the effective implementation of this policy.
11. That this order shall take effect immediately.

Dated in Hartford, Connecticut this 4th day of August, 1999.

John G. Rowland, Governor

Filed this 4th day of August, 1999

Susan Bysiewicz, Secretary of the State

[NOTE: A copy of the Governor's signed Executive Order is available for download at the following address: <http://www.opm.state.ct.us/olr/wpv/wpv.htm>]

Policy Explanation

Zero tolerance

The State recognizes that workplace violence must be addressed, and, therefore, adopted a statewide zero tolerance policy for workplace violence. This means the state will not tolerate violence in the workplace and will make every reasonable effort to prevent violence or threats of violence from occurring. Agencies will be directed to develop and refine their workplace violence prevention programs using the guidelines herein. However, it is important to note that an organization can follow all the prescribed guidelines and still experience violence. Each agency has a unique set of conditions and a context for such acts. The intent of this manual and a zero tolerance policy, therefore, is to help agencies take positive steps to be prepared and diminish the likelihood of violence.

Examples of workplace violence behaviors

According to the National Institute for Occupational Safety and Health (NIOSH), workplace violence is defined as:

“any physical assault, threatening behavior or verbal abuse occurring in the work setting. It includes but is not limited to beatings, stabbings, suicides, shootings, rapes, near suicides, psychological traumas such as threats, obscene phone calls, an intimidating presence, and harassment of any nature such as being followed, sworn at, or shouted at.”

The term “violence” refers to a range of inappropriate behaviors that include but are not limited to the following:

- ☐ intimidating or threatening behaviors
- ☐ physical or verbal abuse
- ☐ vandalism
- ☐ arson
- ☐ sabotage
- ☐ carrying or possessing weapons of any kind on property owned/leased or otherwise controlled or occupied by the state, unless properly authorized
- ☐ using such weapons
- ☐ any other act(s) which a reasonable person would consider as inappropriate and/or posing a danger or threat of danger/violence in the workplace. Such behavior includes, but is not limited to oral, written or e-mail statements, gestures, or expressions that communicate a direct or indirect threat of physical harm
- ☐ offensive comments regarding violent events and/or behaviors

Worksite

The worksite is any location, either permanent or temporary, where an employee performs any work-related duty. This includes but is not limited to the buildings and the surrounding perimeters, including the parking lots. It includes all state-owned and leased space, including vehicles, and any location where state business is conducted.

Who is covered?

All state employees, contractors, subcontractors, and vendors are responsible for complying with this policy and maintaining a reasonably safe and healthy working environment.

Violations

All agencies must act to stop inappropriate behaviors as listed on the previous page. All reports of incidents will be taken seriously and will be dealt with appropriately. All reports will be immediately evaluated and investigated; management will take appropriate actions based upon the results of the investigation. Individuals who commit such acts of inappropriate behavior may be removed from the premises. Any weapon or dangerous instrument at the worksite will be confiscated and turned over to appropriate law enforcement authorities. Employees should be advised there is no reasonable expectation of privacy with respect to such items in the workplace.

Violations of this policy, including knowingly providing a false report, can lead to disciplinary action up to dismissal from employment. Anyone questioned regarding violations of this policy must cooperate fully and honestly. Providing false information or failing to cooperate fully when questioned may lead to disciplinary action as stated above. Violations may also result in criminal penalties. The Office of Labor Relations can assist the HR office in determining the appropriate level of disciplinary action.

Distribution

The HR office should customize this policy by adding agency-specific information, such as the phone number of its building security office or safety officer and the HR office, and printing it on agency letterhead paper. (See **Appendix A** for a generic form.)

The policy, with the information on who to call, shall be distributed to all employees. Distribution can be accomplished by e-mail, hard copy, or any method or combination of methods designed to ensure that all state employees are aware of the policy. You should also make it part of your orientation package for new employees. In addition, it should be posted in prominent places such as bulletin boards, offices, and newsletter articles throughout your agency.

All contractors, subcontractors, and vendors doing business with your agency must be advised that they must comply with this policy.

Reporting

Employees who feel subjected to any kind of inappropriate behaviors listed in the previous section must immediately report the incident to their supervisor. Employees may also contact the HR office directly. Supervisors and managers who receive such reports shall seek advice from the HR office regarding investigating the incident and initiating appropriate action.

Employees should immediately notify proper law enforcement authorities and/or security if they believe that there is a serious threat to their safety or the safety of others .

Liaison with law enforcement

The HR office should ensure that a relationship is established with local and state police. It is critical to know where 911 calls are received, who is likely to respond and how to provide necessary information succinctly. Calls from a cell phone to 911 are received at the nearest state police troop. A map of the troops and service areas is included in **Appendix B**. In the section on public safety support services, a list of the state police troops with phone numbers and a protocol for handling 911 contact is provided (see page 44).

Notification of emergencies to agency head and to the Governor's office

An emergency is defined as a situation where an injury has occurred or there is an immediate threat of physical harm or injury. How to handle emergencies will be discussed in more detail in a later section of this manual (see page 23). There are two notifications that must be emphasized:

- It is critical the HR office **inform the agency head immediately** if an emergency occurs. It may be difficult to focus on calling people during an emergency. Therefore, it is suggested that the HR office and all managers should have the name, work phone number, cell phone, beeper, car phone, and home phone of the agency head readily available. It is also suggested the same information be provided for a backup, such as a deputy.
- The agency head (or his/her backup) must **inform the Governor's office (524-7371) and the Commissioner of Public Safety (685-8000) and the Commissioner of Public Works (713-5800) immediately**. The HR office should also have these numbers readily available. (An example of a building-wide contact tree is provided as **Appendix C**. A global paging system can greatly expedite calling several people simultaneously.)

To help managers access numbers quickly, each agency should prepare a small card with the important numbers and names of who to call. The card can be easily carried or placed near a phone. The card should include the names and phone numbers of contacts they may need, such as HR, building security, agency head and deputies, EAP provider, local police and/or state police. An example of an agency contact list to be distributed to selected managers in DPW is provided. (See **Appendix D**.) Each agency head can decide the appropriate distribution of these cards within their agency, bearing in mind that responses to threats should be coordinated through the HR office.

Role of the Human Resource (HR) office or professional

The HR office is responsible for helping all employees deal with violent, threatening, harassing, intimidating or other disruptive behavior in the workplace.

The HR office shall:

1. Customize the statewide Violence in the Workplace Policy statement with agency specific information, post, and distribute the policy.
 - Include phone numbers of your agency's HR office and building security
 - Post and distribute to all employees
 - Include policy with new employee orientation packet
2. Prepare and distribute a "contact card" (wallet-sized, laminated card of names and phone numbers) to assist managers in accessing appropriate numbers quickly in an emergency.
 - Contact information must include: 911 (police, fire, ambulance), building security, local and state police, agency head and deputies, HR office, EAP provider
 - Optional information may include: Public Information Officer, other personnel appropriate to your agency's organizational structure
 - An accompanying transmittal letter to appropriate staff will help to put the contact card in context
3. Establish a Threat Assessment Team (TAT) to handle workplace violence complaints.
 - Team members may include: HR professional, EAP provider, representative from OLR, ad hoc manager of the person reporting the incident, union official, internal security
 - Three major functions of the team include: identifying the potential for violence, prevention, and responding to individual acts of violence
4. Implement ongoing workplace assessments and prevention strategies.
 - Begin internal workplace assessment of agency management style, human resource practices, and facility security measures
 - Look for ways to increase security and safety
 - Establish ongoing relationships with local and state police, EAP provider, OLR

5. Provide training and education.
 - Assess training needs of agency employees, including HR staff, and notify appropriate DAS staff of agency training needs
6. Respond to and investigate all complaints in a timely manner.
7. Implement the appropriate response procedures, as necessary.
 - Non-Emergency (threatening) Response Procedure
 - Emergency Response Procedure
 - Follow-up Emergency Response Procedure
8. Document and maintain the proper records.
 - The goal of record keeping is to have all information pertaining to a particular incident readily available when needed
 - Maintain information about the incident and investigation (for example, a summary of the incident findings, corrective actions, agency's response, final disposition)
 - Maintain medical records, worker's compensation information and other customary reports and records as appropriate
 - Maintain training records (for example, dates of training, type of training, number and level of employees)
 - Keep notes from meetings, assessments, inspections, etc. as appropriate
 - An additional report for DPW to track security-related expenditures is forthcoming. An example of the type of information required is provided in a DPW example (See **Appendix E**)
9. Regularly conduct a review of emergency and non-emergency (threatening) incidents. Monitor whether the policy and response procedures are being implemented effectively and take appropriate actions.

Threat Assessment Team

Membership

Each agency will establish a Threat Assessment Team (TAT) to handle workplace violence complaints filed regarding behaviors and activities that violate this policy, assess the agency's vulnerability to workplace violence, and reach agreement on preventive actions. Team members are:

- HR professional
- EAP provider
- Representative from the statewide Office of Labor Relations (available for consultation as needed)
- Ad hoc manager, the manager of the person reporting the incident or a designee
- If dealing with a member of a union, it may be helpful to have a high ranking union official involved

You may also wish to include any of the following representatives if applicable: internal security, risk management, legal counsel, and affirmative action. When choosing team members, select decision-makers that have the necessary skills to complement the team.

All employees should be provided with an opportunity to personally meet the members of this team to show management's commitment to deal with incidents and to raise the comfort level of employees in seeking assistance from team members.

Role of threat assessment team

This team will be addressing threats as well as incidents of actual violence. One goal of this team approach is to ensure that people are prepared to work together to deal with these situations. Although violence cannot always be prevented, planning ahead and being prepared to act swiftly to deal with threats, intimidation and other disruptive behavior at an early stage can reduce the risk. In assisting the HR office, the team has three major functions:

1. **Identifying the potential for violence**—identify and analyze any apparent trend in incidents relating to particular units, jobs, activities, time of day and so forth.
2. **Prevention**—adopt procedures agency wide to prevent the occurrence of violence, recommend/implement employee training programs on workplace violence, communicate internally with employees, inspect the workplace, evaluate the work tasks of employees to determine risk levels, conduct follow-up audits, conduct an employee survey, advise on improvements in physical measures, equipment, and work practices, etc.
3. **Responding to individual acts of violence**—Incidents will be reported to and evaluated by the Threat Assessment Team. The team will guide the investigation and intervention process, as it deems appropriate. This may entail planning a response and mitigating further damage, coordinating responses with local law enforcement and the community, managing the media, and inspecting the workplace periodically to discover and correct hazards.

Availability

All employees should be able to obtain help or assistance from any member of the Threat Assessment Team and from the HR office. Agencies shall make a provision for workers who work second or third shift or on weekends to obtain this assistance. There are three ways to do this. One way is to select team members who can provide this type of coverage. A second way is to provide an off-hours phone or beeper number to access a team member. Third, alternate or backup team members who are available should be identified.

Small agencies

Smaller agencies that are unable to convene a full Threat Assessment Team should establish a relationship with an agency that can assist in providing support resources to them. A list of agencies and their HR personnel is included in **Appendix F**.

Statewide Security Management Council

Public Act 99-220 establishes a comprehensive approach to workplace security in state government agencies. It establishes the Department of Public Works as the primary agency responsible for the administrative functions associated with creating and maintaining security measures in state buildings. It also creates a Statewide Security Management Council to help coordinate security activities in state agencies. The council shall consist of the Commissioner of Public Safety (DPS), the Commissioner of Administrative Services (DAS), the Commissioner of Mental Health and Addiction Services (DMHAS), the Commissioner of Public Works (DPW) the Secretary of the Office of Policy and Management (OPM), a representative of the Governor, a representative of the State Employees Bargaining Agent Coalition and the President of the Connecticut State Police Union or the president's designee. The Commissioner of Public Works serves as the chairperson of the council.

Each council member shall provide technical assistance in the member's area of expertise. The specific support services performed for state agencies reporting to the Statewide Security Management Council by DAS, OPM, DPS, DMHAS, and DPW are delineated throughout this manual.

Prevention

Introduction

Prevention is the responsibility of every employee. This section focuses on some measures to reduce the risk of violent behavior. Human Resource professionals, supervisors, and managers should be familiar with and knowledgeable of the issues below *before* violence occurs.

Workplace violence is an increasingly common phenomenon that is a cause for grave concern in the workplace today. According to some researchers, workplace violence has increased 200 percent in the past decade. When the subject of workplace violence is brought up, most people, and the media, think of horrific events such as the killings of coworkers by U.S. Postal Service employees at several sites this decade, the murder of city employees by a disgruntled former employee in a Los Angeles building and the recent killings at an Atlanta, Georgia, day-trading firm. However, deaths such as these, as horrible as they may be, form only a small percentage of the total picture of workplace violence as it exists today.

Data from the National Institute for Occupational Safety and Health (NIOSH) and the state of California Occupational Safety and Health Administration (CAL/OSHA) indicate that each year approximately 1,000 people are victims of homicide in their workplaces. However, this pales in comparison to employees who are victims of assaults, harassment, intimidation, or threats. Data in this area are far more difficult to collect, as many incidents go unreported. However, reasonable estimates suggest that there may be as many as two million incidents of this type each year, affecting one in four employees over the course of their work life.

Definitions and types of violence

As noted in the policy explanation on page 4 of this manual, workplace violence is defined to include not only homicide, but also assault, harassment, intimidation, threats, and coercion.

In reviewing homicides in the workplace, the stereotype of the disgruntled employee does not entirely reflect the reality of the situation. As noted previously, approximately 1,000 employees are murdered on the job each year. In looking at the cause of these deaths, the breakdown is as follows: 60 percent of the homicides are the result of stranger violence, most commonly robberies committed in retail establishments such as convenience stores, jewelry stores, motels, and taxicabs. Criminals who do not know the victim typically commit these homicides. Another 30 percent of homicides fall into the category of client violence. These acts are committed by customers, clients, or patients who become enraged at some real or imagined grievance with the agency or an employee and lash out.

Victims of this type of violence typically include customer service representatives, nurses, social workers, etc. The final category, employee violence, accounts for about 10 percent of workplace violence. This includes both violence directed by employees such as those referenced above and incidents of domestic violence directed at employees by spouses, ex-lovers, etc. These each account for approximately one-half of the incidents.

It is more difficult to gather accurate data on incidents that fall within the range of assaults, threats, etc. A study performed in May 1995 by the Workplace Violence Institute indicated that on a given day, approximately 16,400 employees are threatened, 723 are assaulted/attacked, and 43,800 are attacked (Workplace Violence Research Institute, 1995). In looking at a statistical breakdown by workplace, over a four-year period, 50 percent of all

workplaces reported at least one incident of violence or threat of violence, while 30 percent of companies reported more than one incident (Northwestern Life Insurance Company, 1994).

In reviewing this data, it appears clear that workplace violence is a major problem in the modern workplace, and one that requires a multifaceted approach by the employer, employees, and employee assistance programs or other agencies providing support to victims of violence.

The phenomenon and dynamics of violence

As recently as the 1970s, workplace violence was virtually unheard of. What are the social forces that have lead up to the current problem which some describe as an epidemic? As with many complex social phenomena, it is difficult to find a simple explanation. Most experts agree that the following contribute in a significant way to the situation:

- Inappropriate stress levels in the workplace, which can be caused by downsizing, reorganization, and higher workloads on individual employees.
- The increasing prevalence of substance abuse in the workplace.
- The general pervasiveness of violence in our society, including the easy availability of weapons, excessive violence in the media, and the general acceptance among many in the population that violence is an acceptable way to resolve differences.
- Mistrust and animosity among different ethnic, social, and racial groups in the workplace, with concomitant difficulties in communication.

Other research suggests that violence is more likely to occur in workplaces where morale is low, where employees believe that they are not treated with dignity or respect.

Workplaces where employees believe that they are treated “fairly,” where there is a sense of “employment security,” lateral or upward movement is possible, and workers have some perceived control over their jobs are less likely to be interrupted by violence (J. Baring, Ph.D. 1998).

Early warning signs of potential violence

The main concern of many people is how to identify potentially violent individuals. While generally past behavior is the best predictor of future behavior, it must be remembered, **there is no specific “profile” of a potentially dangerous individual.** For example, people who do not fit a specific profile may engage in acts of violence. In addition, many people who fit a “profile” do not engage in acts of violence and should not be automatically viewed with suspicion. It should also be noted that other acts of violence may occur in the workplace related to such issues as **domestic violence** which are more likely to be directed at the spouse/loved one. Sometimes, in retrospect, victims and witnesses indicate that violent acts occurred without warning and seemingly “out of the blue.” However, more careful histories and analysis indicate that there are patterns of behavior and events that frequently precede episodes of violence.

Below is a list of indicators of increased risk of violent behavior. This list is based on research conducted by the Federal Bureau of Investigation’s National Center for the Analysis of Violent Crime (NCAVC) and other experts. While human behavior cannot be accurately predicted, the behaviors below should be viewed with concern.

- direct or veiled threats of harm

- intimidation, belligerent, bullying or other inappropriate behavior directed at others
- numerous conflicts with supervisors and employees; verbal comments indicating expression of hostility directed at coworkers, supervisors, or others
- bringing a weapon to work, brandishing a weapon in the workplace, making inappropriate reference to guns or fascination with weapons
- fascination with incidents of workplace violence, statements indicating approval of the use of violence to resolve a problem, or statements indicating identification with perpetrators of workplace homicides
- statements indicating an increased tone of desperation from the person, feeling that normal interventions to solve the problem will not work, feeling hopeless about a situation at work, with family, financial, and other personal problems
- signs of abuse of drugs/alcohol on or off the job
- extreme or uncharacteristic changes in behavior or displays of emotion

Such behaviors should be reported to the HR office. The TAT and the HR office must be prepared to assist supervisors and managers in dealing with such behavior. Some behaviors require immediate police or security intervention, others require disciplinary action, and others indicate an immediate need for an EAP referral.

Sometimes, small behavior problems, which can precede the above behaviors, are dismissed or ignored, allowing problems to fester. In the employee's mind, the situation can become more intense. Early involvement by the HR office is the appropriate intervention. It is important to remember the employee must be treated with dignity, mutual respect and fairness in this process. Some of these types of behavior are listed below.

- Withdrawal from friends, coworkers, and/or one's social circle
- Reduced productivity
- Unexplained absence from work area or marked increase in tardiness and/or absenteeism
- Noticeable deterioration of personal hygiene and appearance

Common issues triggering workplace violence

There are multiple issues that may trigger workplace violence. These tend to fall into two categories: employee issues and workplace issues. In terms of **employee issues**, the following events are potential "triggers."

- Negative performance review
- Unwelcome change in role due to performance or reorganization issue
- Criticism of performance
- Conflict with coworker or supervisor
- Personal stress outside the workplace
- Increased workload or pressure *e.g.* deadlines, projects, etc.

In addition, certain **workplace characteristics** may contribute to an atmosphere, which makes the occurrence of workplace violence more likely. These include:

- No clearly defined rules of conduct
- Lack of training
- Inadequate hiring practices/screening of potential employees
- Insufficient supervision
- Lack of discipline or inconsistent discipline in workplace
- No or inadequate employee support systems
- Failure to address incidents as they occur
- Overly authoritarian management style

Experts agree that three key elements that may prevent a potentially violent situation from occurring are:

1. recognizing the early warning signs (often there is a change in a persons behavior preceding an episode of violence)
2. recognizing issues or events that may trigger violence and
3. intervening early to prevent a violent incident from occurring

Have a crisis plan and anticipate problems before they occur. A workplace policy and plan is helpful in addressing issues and problems as they occur in the workplace.

Caution

A caution is necessary here. It is important to be careful when drawing assumptions or relying on any of the above behaviors as indicators of violence. Many people experience stress, loss, or illness at some point. Many experience the workplace and organizational conditions cited above. All but a very few people handle these disruptions and conditions without resorting to violence. The intervention should focus on supporting the employee through these disruptions and managers should be trained to deal with these difficulties.

Conducting risk and threat assessments

Definition

Whenever a situation in the workplace arises, it is important that an assessment occurs to determine the degree of risk. All threats must be treated in a serious manner. The purpose of a threat assessment is to **identify** the potential perpetrator, **assess** the risks of violence by that potential perpetrator, and **manage** the subject and the situation risks in a way that protects employees.

Who

Ordinarily, a threat assessment will be conducted by the HR office in conjunction with one or more of the threat assessment team members. In some situations, agencies have

sought expertise directly from law enforcement experts knowledgeable in all relevant State and Federal laws and regulations (including privacy issues, ordering exams, etc.). This assistance has also been particularly helpful in developing options to deal with the situation.

Gather Information

It is clear that the agency will not always have the information that would be useful in order to make the best assessment, but will have to use information at hand. The following items are necessary for violence to occur:

- the opportunity that permits the behavior to occur
- the individual must have access to the intended victim
- the individual has the will to commit the act
- there are normally precipitating factors that generate the act of violence

It is important to know, if at all possible, who the intended victim(s) is/are. The individual may display animosity toward a particular person (referred to as victim of choice) or the person may simply lash out randomly at anyone who is present (victim of opportunity).

In addition, it is important to assess how the individual verbalizes any apparent statement/threat about violence in the context of the person's known history.

For example, the person may:

- Make a **direct threat**, *e.g.* "I am going to kill you."
- **Conditional threat**, *e.g.* "If you don't stop giving me warnings, I will get even with you."
- **Veiled or hidden threat**, *e.g.* "Something bad might happen to your family," not direct or contingent.

Keep in mind that some persons who make threats actually carry them out; some persons who make threats do not carry them out; and some persons who commit an act of violence never made a threat.

Threats are best understood in the context of the history of the person making the threats, *e.g.* do they have a history of aggressive behavior at work, are they showing signs of deteriorating performance, etc. Direct or conditional threats clearly need to be addressed immediately, either via law enforcement or the HR progressive discipline process. Veiled threats require more judgment on the part of the evaluator. Other variables that may be assessed include the individual characteristics and assessment of the current situation in the workplace (*e.g.* is there downsizing going on, is the person undergoing progressive discipline?) to determine if precipitating factors are present. If in doubt, an investigation by HR is critical and should take place immediately.

If the HR office is confronted with, in their judgement, a high-risk situation, follow the response procedures outlined on pages 21-22 of this manual. These include notifying the person identified as a victim if a clear victim is identified, creating a physical separation between the intended victim and the individual making the threat to reduce the likelihood of confrontation, and notification to the proper law enforcement authorities.

The area of threat assessment is an evolving field for security and law enforcement professionals. Reference material on threat assessment from the Department of Justice is available. The document, "Protective Intelligence and Threat Assessment Investigations: A Guide for State and Local Law Enforcement Officials," by Robert A. Fein and Bryan Vossekuil, can be downloaded at <http://www.ncjrs.org> . **Click on law enforcement, click on documents and then select the document from an alphabetical listing** . A hard copy is available at no cost by contacting the National Criminal Justice Reference Service, Division of Department of Justice Clearinghouse, Document # NCJ170612, at 1-800-688-4252.

Pre-employment screening

The violence prevention literature suggests that pre-employment screening is a critical component of a prevention program. Questions must be consistent with State and Federal laws and regulations and appropriate for the position being considered. HR should be prepared to advise managers and supervisors on appropriate interview questions, interviewing techniques, conducting reference checks, and determining the need for a background check.

Additional prevention actions

The following is a list of other possible prevention activities:

- weapons prohibition
- clear workplace violence prevention policy that is fairly enforced and specifies unacceptable behaviors
- clear reporting procedures
- means to conduct threat assessments and determine appropriate interventions
- work site risk analysis of both the organizational climate and the workplace environment
- hazard prevention and control plan
- education and training on warning signs and management style, stress management, conflict resolution, communication skills, proper disciplinary practices, stress and self esteem
- record keeping
- evaluation and improvement

Response Procedures

Purpose

The following procedures are recommended to be followed whenever an employee files a complaint alleging that a violation of the Violence in the Workplace Prevention Policy has occurred or when a violent incident occurs. Executive Order No. 16, which includes the Violence in the Workplace Prevention Policy, can be found on page 2 of this Manual. Types of incidents covered by this policy are included on page 4 of this Manual.

Emergency and non-emergency (threatening) situations

A “threat” is a communicated intent to inflict physical or other harm on another person. A threat can be communicated either verbally or by gesture, or a combination of the two. If sufficiently egregious, a threat can constitute a criminal act (See, e.g., Section 53a-62 of the Connecticut General Statutes). A “threatening situation” is a situation where one person, through intimidating words or gestures has induced fear and apprehension of physical or other harm in another person but there is no immediate danger of such harm being inflicted. The steps listed under the “Non-Emergency (threatening) Response Procedure” are recommended to be followed whenever a threatening situation occurs.

A situation is an “emergency” if: an injury has occurred or there is an immediate threat of physical harm or injury. **Individuals should always consider their personal safety first in all emergency situations.** If possible, the “Emergency Response Procedure” should be followed whenever an emergency occurs.

How to conduct an investigation

A reference section on “How to Conduct an Investigation” is included in **Appendix G**. This appendix contains suggestions for preparing for interviews, possible questions to guide a structured interview process, and some cautions. These suggestions can apply to both emergency and non-emergency situations. DAS-sponsored training for HR professionals will review the response procedures as well as provide additional information on how to conduct an investigation.

Response Procedures Flow Chart

<p style="text-align: center;">Non-Emergency (threatening) Response Procedure</p> <p><i>A threatening situation is defined as a situation where:</i></p> <p>One person, through intimidating words or gestures has induced fear and apprehension of physical or other harm in another person but there is no immediate danger of such harm being inflicted</p>	<p style="text-align: center;">Emergency Response Procedure</p> <p><i>A situation is an emergency if:</i></p> <ol style="list-style-type: none"> 1) An injury has occurred OR 2) There is an immediate threat of physical harm or injury <p><i>You should consider your personal safety first in all emergency situations. If possible, you should use the following response procedure</i></p>
<p style="text-align: center;">Step 1</p> <p>Notify HR or on-site manager</p>	<p style="text-align: center;">Step 1</p> <p>First person on the scene quickly assesses the situation and risk</p>
<p style="text-align: center;">Step 2</p> <p>HR begins an investigation</p>	<p style="text-align: center;">Step 2</p> <p>First person on the scene calls for assistance</p>
<p style="text-align: center;">Step 3</p> <p>HR meets with threat assessment team (TAT) to assess options and develop an action plan</p>	<p style="text-align: center;">Step 3</p> <p>HR notifies appropriate personnel</p>
<p style="text-align: center;">Step 4</p> <p>HR implements action plan and HR and TAT monitor outcome</p>	<p style="text-align: center;">Step 4</p> <p>First person on the scene ensures that the needs of the injured are met</p>
<p style="text-align: center;">Step 5</p> <p>If necessary, implement disciplinary action</p>	<p style="text-align: center;">Step 5</p> <p>As appropriate, HR separates the parties involved until they can be interviewed</p>
<p style="text-align: center;">Step 6</p> <p>If an emergency situation develops, follow steps for emergency response procedure</p>	<p style="text-align: center;">Step 6</p> <p>HR coordinates securing the affected areas and assessing damage</p>
<p style="text-align: center;">Step 7</p> <p>HR and TAT regularly conduct a review of incidents</p>	<p style="text-align: center;">Step 7</p> <p>HR seeks immediate intervention assistance from EAP provider</p>

Follow-Up Emergency Response Procedures Flow Chart

As needed, contact:

Office of Labor Relations for assistance with labor relations issues (860) 418-6447
Department of Public Works for assistance with building safety issues (860) 713-5811
Department of Public Safety for assistance with criminal investigations Local Troop

Step 1

HR conducts investigation by taking appropriate statements and conducting interviews

Step 2

HR convenes TAT to develop an action plan

Step 3

HR implements approved course of action

Step 4

HR and TAT monitor the outcome

Step 5

HR and TAT regularly conduct a review of incidents

Workplace Violence Non-Emergency (Threatening) Response Procedure

A threatening situation is defined as a situation where:

One person, through intimidating words or gestures has induced fear and apprehension of physical or other harm in another person but there is no immediate danger of such harm being inflicted.

Step 1: Notify HR or on-site manager

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| <ol style="list-style-type: none">1. Notification should occur on the same day as the incident or situation2. If the incident/situation occurs on a Friday, notification should occur on Friday when possible, or on Monday (within 48 hours)3. If HR personnel are unavailable, notify on-site manager4. If an on-site manager is notified, he/she must notify HR as soon as possible5. HR staff should notify the agency head |
|---|

Step 2: HR begins an investigation

<ol style="list-style-type: none">1. Meet with any or all of the following to determine the facts and seek resolution, if possible:<ul style="list-style-type: none">▪ the target or victim of the threat▪ the subject of the complaint▪ the supervisor of the subject of the complaint and victim's supervisor▪ the appropriate union(s)▪ any witnesses2. If deemed appropriate, consult with the TAT3. If appropriate, conduct a threat assessment (see page 15)4. If all parties agree, attempt to resolve the conflict5. Maintain appropriate documentation	<ul style="list-style-type: none">▪ What is the behavior?▪ What is causing the behavior?▪ Are the causes work-related or non-work related (personal)?
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Step 3: HR meets with the TAT to assess options and develop an action plan

1. Possible options for non-work related causes impacting behavior include:
 - EAP referral/counseling services
2. Possible options for work-related causes impacting behavior include:
 - EAP referral/counseling services
 - Time off
 - Training
 - Revise policies or procedures
3. Consult OLR, EAP provider, etc. for advice
4. Keep agency head informed

Step 4: HR implements action plan and HR and TAT monitor outcome

1. Ensure that the appropriate actions have been taken by the proper individuals

Step 5: If necessary, implement disciplinary action

1. Determine if disciplinary action is necessary
2. Consult OLR for advice
3. Implement the most appropriate step in the progressive discipline process (i.e., verbal warning, written warning/reprimand, suspension, termination)
4. Ensure the rights of employees are not violated

Step 6: If an emergency situation develops, follow steps for emergency response procedure

1. A situation is an emergency if: 1) an injury has occurred OR 2) there is an immediate threat of physical harm or injury
2. If the situation escalates to an emergency or possible emergency, follow the steps outlined in the Emergency Response Procedure

Step 7: HR and TAT regularly conduct a review of incidents

1. Perform an internal review of incidents at least twice a year to identify patterns and take appropriate actions to prevent recurrences
2. Work with resource agencies/contacts such as EAP and OLR to identify and modify work practices to reduce risk

Workplace Violence Emergency Response Procedure

A situation is an emergency if:

- 1) An injury has occurred OR
- 2) There is an immediate threat of physical harm or injury

You should consider your personal safety first in all emergency situations. If possible, you should use the following response procedure.

Step 1: First person on the scene quickly assesses the situation and risk

<ol style="list-style-type: none">1. What's happening?2. Who's involved? How many?3. How dangerous is the situation?4. Are weapons involved? What kind?	<ul style="list-style-type: none">▪ Keep yourself safe▪ Remain calm▪ Think rationally▪ Don't overreact
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Step 2: First person on the scene calls for assistance

<ol style="list-style-type: none">1. Dial 911<ul style="list-style-type: none">▪ <i>Identify yourself</i>▪ <i>State the nature of the emergency</i>▪ <i>Provide details about persons injured and the perpetrator</i> <p>If you <i>are not</i> in danger and time permits:</p> <ol style="list-style-type: none">2. Notify internal security3. Notify HR office or an On-Site supervisor/manager	<ul style="list-style-type: none">▪ If you're in doubt about whether to call, call▪ If necessary, ask a bystander to assist you in getting help▪ Become familiar with how you can quickly access the appropriate phone numbers▪ Do not attempt to physically remove the perpetrator(s) - Let the police do it
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Step 3: HR office notifies appropriate personnel

<ol style="list-style-type: none">1. Agency head is notified immediately2. Agency head must notify the Governor's Office, Public Safety Commissioner, and Commissioner of Public Works3. HR ensures that law enforcement has been notified by double checking that 911 and internal security have been called4. HR notifies other intended target(s), if known, to ensure their safety5. HR also notifies appropriate supervisors/managers
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Step 4: First person on the scene ensures that the needs of the injured are met

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| <ol style="list-style-type: none">1. Utilize internal agency resources such as first aid kits, employees who are certified to administer first aid, qualified paramedics, and emergency medical technicians (EMT's)2. If required, ambulance services can be summoned by contacting 911 |
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Step 5: As appropriate, HR separates the parties involved until they can be interviewed

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| <ol style="list-style-type: none">1. Do not send employees/witnesses home2. Put each individual in a separate room; ask someone to stay with them so that they will not have to be alone – Help the individual to remain calm and do not ask the individual any questions | <ul style="list-style-type: none">▪ Remain non-judgmental about who's right and wrong▪ Do not physically try to remove an individual; this is a police responsibility |
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Step 6: HR coordinates securing the affected areas and assessing damage

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| <ol style="list-style-type: none">1. Close a door, station someone near the area, or use a sign to prohibit entrance to affected areas2. Make sure that nothing in the affected area is touched3. If possible, provide coverage for affected work areas |
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Step 7: HR seeks immediate intervention assistance from EAP provider

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| <ol style="list-style-type: none">1. Consult with EAP to plan an effective response2. Assist in any efforts to defuse the situation3. Reassess the situation to make sure it does not rekindle4. Assist in making referrals as determined by appropriate professionals5. Document all actions and statements |
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Note: If A Weapon Is Involved, Use Your Own Best Judgement

1. Stay calm and signal for help
2. Maintain eye contact
3. Try to negotiate to get as many "Yes" responses as possible to your requests - Stall for time – Keep the person talking
4. Do not argue - Do what you are told
5. Do not try to be a hero by grabbing the weapon
6. If you have an opportunity to escape, do so if you can do it quickly, quietly, and safely

Workplace Violence

Follow-Up Emergency Response Procedure

As needed, contact:

1. Office of Labor Relations for assistance with labor relations issues..... (860) 418-6447
2. Department of Public Works for assistance with building safety issues (860) 713-5811
3. Department of Public Safety for assistance with criminal investigationsLocal Troop

Step 1: HR conducts investigation by taking appropriate statements and conducting interviews

<ol style="list-style-type: none"> 1. If applicable, contact law enforcement and coordinate activities 2. Request appropriate staff, including the alleged subject of the complaint, to complete agency's incident report 3. As with any other investigation, conduct interviews with victims and witnesses and maintain documentation; interview the subject of the complaint with appropriate union representation present 4. Document all interviews 5. Check background of the subject of the complaint (history of violence, stress level, warning signs) 6. Review pertinent records, such as medical, work performance, and grievance records 7. Identify causes that may have contributed to the situation 	<ul style="list-style-type: none"> ▪ Remain objective and professional ▪ This step should be taken as soon as possible following an incident or report/complaint ▪ Collect facts on who, what, when, where, why, and how ▪ Ensure protection from discrimination ▪ The alleged subject of the complaint may be placed on paid administrative leave during the process of investigation if the incident is sufficiently serious to invoke Reg. §5-240-5a
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Step 2: HR convenes TAT to develop an action plan

<ol style="list-style-type: none"> 1. Convene the TAT or other appropriate personnel to review findings from investigation and develop an action plan 2. Keep the agency head informed 3. Draft recommendations for: <ul style="list-style-type: none"> ▪ Corrective action(s) ▪ Changes in controls, procedures, and policies to prevent a recurrence ▪ Organizational recovery actions 	<ul style="list-style-type: none"> ▪ The TAT should consider how to handle internal communications as well as the press and media ▪ OLR is available to provide advice and counsel and should be contacted for assistance ▪ The EAP should be offered as an option to employees and the agency, as appropriate ▪ If discipline is contemplated, the pre-disciplinary requirements of the Regulations, contract, and/or <u>Loudermill</u> decision must be complied with, as appropriate
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Step 3: HR implements approved course of action

<ol style="list-style-type: none">1. Anticipate the potential behavior of the subject of the complaint following the investigation and/or subsequent disciplinary action and plan a response2. If appropriate, continue to attempt to ensure the physical safety of the victim(s) and witness(es)3. Handle appeals of disciplinary actions4. Make arrangements to respond to ongoing medical and psychological needs of employees5. Publish and distribute policy/procedure changes to all employees6. Train managers and supervisors concerning specific changes	<ul style="list-style-type: none">▪ Administrative options include administrative leave, work restrictions, conditional medical leave, disability retirement▪ Appropriate disciplinary actions include verbal warning, written warning/reprimand, suspension, termination▪ Obtain advice from OLR, internal counsel, Office of the Attorney General, when necessary▪ Coordinate with EAP for support services
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Step 4: HR and the TAT monitor the outcome

<ol style="list-style-type: none">1. Complete investigation and documentation2. Conduct on-site reviews of the workplace regularly3. Follow-up with victim(s) and witness(es)4. Provide support to employees

Step 5: HR and the TAT regularly conduct a review of incidents

<ol style="list-style-type: none">1. Perform an internal review of incidents at least twice a year to identify patterns and take appropriate actions to prevent recurrences2. Work with resource agencies/contacts such as EAP and OLR to identify and modify work practices to reduce risk
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How to Interview a Potentially Violent Employee

This section of the manual provides some brief checklists to assist HR staff in managing difficult and tense situations that involve workplace violence. In implementing these suggestions, the most useful skills for HR professionals and others are the classic active listening skills—*listening, probing, empathizing, paraphrasing, clarifying, and summarizing*. Frequently, the goal is to defuse the tension or resolve the conflict. Often, HR professionals mediate such discussions. However, due to the potentially high risk of some situations, these skills must be sensitively and judiciously applied. Development and refinement of these skills can best be addressed in the DAS state-sponsored training sessions.

Interviewing a potentially violent employee

There may be incidents where you need to gather information from a potentially violent employee. This person may have made a direct, conditional or hidden threat. The interview can occur before an incident, during an incident, during your investigation or afterwards. The ground rules are the same.

- Never interview them alone. Always interview in pairs.
- Consider holding the interview in a neutral conference area, away from office space.
- Keep yourself between the person and the door so that you have a means to escape if the discussion escalates to violence. Please bear in mind that suspicious people may have difficulty with this, as they may be accustomed to keeping themselves in this position.
- Give the person sufficient space so they do not feel trapped, crowded or threatened.
- Establish “model” behavior. Act calm, stable, and in control (even if you do not feel calm). Be courteous and patient.
- Use active listening skills, acknowledgement of feelings, repeating back so as to communicate that you want to understand.
- Avoid statements that are judgmental or accusatory.
- Allow the subject to save face.
- Adjust your style to meet the need of the subject.
- Offer support to the person via the EAP or other services.
- Maintain eye contact.

There is an art to this form of interviewing. The goal is to develop enough of a relationship with the subject so that she or he will talk about the incident. Tone and approach are important. Keep in mind the individual may not want to talk with you and/or may complain of intimidation. If you are conducting an interview as part of an investigation, it is possible they may leave during the interview. (If this occurs, remember to document what was said, mannerisms, gestures, and tone of voice.)

What to do if a person is shouting, swearing, or threatening

- Attend to the person's need to be heard.
- Signal a colleague to call security or police.
- Do not call security while talking to the person.
- Acknowledge the person's feeling of anger, hurt, etc.

What to do if the person is threatening with a weapon

- Alert authorities, if possible.
- Stay calm, and signal for help if possible.
- Maintain eye contact.
- Stall for time, engage the person, and try to keep them talking.
- Do not argue with the person. Do what they tell you.
- Do not try to be a hero by grabbing the weapon, etc.
- If you have the opportunity to escape, do so if you can do it quickly, quietly, and safely.

Organizational Recovery

Introduction

An incident of workplace violence can occur at any time. This may include, dependent upon the workplace, an armed robbery, an intruder threatening staff, an angry jilted spouse assaulting a coworker, a disgruntled former employee brandishing a weapon. The painful or tragic results of such incidents often have consequences well beyond those workers directly affected by the incident. For example:

- workers who witnessed the incident may suffer from emotional upset
- workers may become distracted and unable to concentrate on work
- workers may feel angry, guilty, or fearful
- some may feel responsible for the incident, feeling they could have done something to prevent it
- some may feel guilty for not trying to intervene or stop the incident

In order to facilitate organizational recovery from an incident of workplace violence, two things need to occur: employees need to be cared for and the workplace response to the incident needs to be assessed and reviewed.

What is a critical incident?

A critical incident is an unexpected tragic or catastrophic event, *e.g.* an accident, fatality, natural disaster, etc. that causes severe emotional or psychological trauma in people exposed to it. This is typically a sudden, unexpected, powerful event that exceeds the range of normal experience and is generally outside of most employees' control.

Critical incident stress

It is important to note that critical incident stress is a *normal* reaction to an *abnormal* situation. Employees who experience a severely traumatic event may feel shaky, upset, etc. In addition, they frequently have lingering effects, which often include:

- feeling jumpy, anxious, irritable
- poor concentration, inability to make decisions, think clearly
- having difficulty returning to the scene
- fear in different places of another traumatic event
- locking doors and windows in their home
- nightmares about the event
- intrusive vivid recollections of the event which cannot be "turned off"

Aftereffects from these incidents can be serious and can linger, disrupting the employee's work and personal life, causing poor sleep, depression, and poor work performance. Employees may become disillusioned about the workplace and their safety in it, and may seek other employment.

How to manage critical incidents

It is extremely important that employers respond quickly to these situations by providing support to employees. Plans for these are best developed in advance and not during an emergency. The best response is a 4-step one, as follows:

1. defusing
2. debriefing
3. critiquing session
4. TAT review

Defusing session

A defusing session should be held immediately, or as soon as possible, after the incident. It should be led by someone certified in Critical Incident Stress Management (CISM) for example, the DMHAS or EAP providers. The leader will assist employees in understanding what they have been through, what the process will be like, what they are likely to feel, think, and experience. The leader will also provide information on how employees should care for their emotional and physical health. They may provide the number of the local crisis or helpline. This educational process will prepare employees for the aftereffects of trauma, which may otherwise be experienced as “going crazy” or pathological.

Debriefing session

A debriefing is generally held 24-48 hours after the incident, once the shock has worn off. A debriefing is a structured, educational group meeting which is designed to provide support, alleviate trauma, and speed up the recovery process. It is not therapy. Participants are encouraged to discuss their feelings about the incident as a tool for resolving the traumatic event. Debriefing sessions generally run about two hours. Like defusing sessions, debriefings should only be held by certified professionals.

Critiquing session

A critiquing session should be held about two weeks after the incident, where the managers, supervisors, and employees get together and review how the situation was managed. The goal of these sessions is to identify how the incident might have been handled better, and how to improve future management if such an event recurs. Typical critiquing sessions include:

- How was the incident handled? Who responded? How quickly, etc.?
- How could it have gone better?
- How could it have been prevented? (review of security procedures and the HR intervention)
- How effective were the defusing and debriefing sessions?
- Is there a need for policies for management of these incidents?
- Do safety procedures and workflow procedures exist? Were they followed? Did they work?

TAT review

Special attention should be given to evaluating incidents on a regular basis.

The following issues should be addressed:

- review of agency responses to incidents
- review of emergency procedures and their effectiveness
- review of outside responders, *e.g.* paramedics, law enforcement, etc.
- prevention strategies—need for new policies or protocols to reduce likelihood of any further incidents especially in areas of HR, and EAP
- supervisory issues, management style
- review of organizational culture and extent to which that may have contributed

The TAT review has the purpose of taking a hard look at the organization to review/ensure that everything possible is done to prevent and manage workplace violence. Needed changes should be accompanied by action plans to make progress over time in addressing issues. Executive level buy-in is needed to ensure that any needed change occurs. It is also important to note that not all incidents can be anticipated nor does the organization always contribute to these incidents, only that self-analysis is important after incidents in order to facilitate continuous improvement.

Management actions

There are several actions agency managers can take that can facilitate recovery. These are highlighted below:

- Managers and supervisors need to spend a great deal of time with their employees for support and to answer questions.
- A clear, simple information strategy to keep employees informed and to answer their questions is necessary.
- The site of the incident will be an area of grieving and needs to be handled carefully.
- Engage union representatives to help reassure employees and to answer questions.
- Employees' return to the site can be traumatic. Returning soon after the event, even briefly and ideally with support of family and close work associates, can make this easier.

Media Interaction and Internal Communication

It is important to remember that during a crisis, receiving information is most important. Confidentiality, “rumor mills,” lack of information, as well as fantasy, distortion, and fear are examples of what your agency will have to handle. It is advisable to assign an “information coordinator” as gatekeeper of both internal and external information. As much appropriate information as possible should be disseminated to essential personnel so that everyone will be in the “loop” and thus provided with the scope of information needed to make coordinated and knowledgeable decisions in connection with the crisis. Which staff member is assigned to be the “information coordinator” will vary depending upon the agency and the severity of the situation. In the case of an emergency situation where physical violence has occurred and/or law enforcement is involved, media inquiries should be reported to the Governor’s press office and/or the State Police’s spokesperson to ensure that timely and accurate information is made available to the public.

The HR office should consider developing a plan that includes:

1. A designated public relations contact to ensure the truth and consistency of the information provided;
2. Advance decisions about how and when to respond to the media;
3. Checking with legal counsel if in doubt about the information you will be providing to the media; and
4. Maintaining a liaison with noted media representatives, when possible.

Support

Workplace Security

Introduction

An integral part of a workplace violence prevention program is the completion of a comprehensive physical security site survey at each state facility. This process will include a thorough review of security features already in place and the formulation of recommendations to enhance the overall safety and security of the employees and other assets of the State of Connecticut.

The Department of Public Works has compiled preliminary information from state agencies that participated in our initial survey. Data were obtained on cameras, metal detectors, card access systems, security guard services, lighting, alarms, and so forth. Background information was also obtained on the agencies and the extent of their violence prevention programs. Based on the results, each of the facilities will be placed in one of three risk categories—high, medium, or low risk. A prioritized list of buildings is being analyzed and costs for improvements are being determined. This information will be used as the basis for directing the state facility security program.

Department of Public Works (DPW)

For the DPW Risk Management Unit, the next steps are as follows:

- Develop a detailed security audit process for the purpose of collecting data on all non-exempt buildings. This initiative includes work site analysis, building risk classification, security exposures, hazard prevention and control, and recommendations for risk management processes. This is needed to validate and supplement the previous information provided to DPW and to direct further building improvements.
- Develop building security standards to ensure that the appropriate level of security is applied to all non-exempt buildings based on the level of risk.
- Investigate implementing a statewide employee identification and card access system.
- Create an on-call list of security consultants to assist in the audit process.
- Conduct or monitor security audits of non-exempt buildings on a prioritized basis based on risk level, recommend improvements, and allocate bond funds, if necessary, to bring buildings up to compliance with state security standards.
- Compile data to begin to create a statewide security database.

Physical security in state-owned or leased space *

According to Public Act 99-220, there will be five vehicles for agencies to ensure building security. They are as follows:

1. ***New construction***—Designs for non-exempt agencies for capital projects after October 1, 1999 shall comply with the state security standards. In the event sufficient funds to meet these standards are not available in the existing construction budget for a particular project, Security Improvement Bond Funds (SIBF) have been authorized for security systems and/or equipment for these projects *e.g.* card access systems and video surveillance cameras.
2. ***Renovations*** ^{3/4}All renovation designs shall comply with state security standards where applicable. When possible, renovations should build in security considerations *e.g.* floor plans laid out to provide access control points, and any necessary funding for these should be incorporated in the original design. As with new construction, SIBF have been authorized for security systems and/or equipment such as card access systems and video surveillance cameras.
3. ***Leased space***—As of October 1, 1999, new leases must be in compliance with established security standards. Current leases can be renegotiated to bring those premises into compliance with statewide security standards.
4. ***DPW buildings***—DPW has already initiated changes in the physical and administrative security measures in 35 DPW-managed buildings totaling \$255,800 since March 1998. Changes were made predominantly to building perimeters—card access systems, panic buttons, alarms, lighting, cameras, and security guard services—as well as access procedures. Additional improvements are planned for these buildings.

A detailed comprehensive assessment for 165 Capitol Avenue was conducted to determine whether more extensive improvements are needed. It is expected that this type of audit will be done for the remaining DPW buildings on a prioritized basis. DPW Security Manager Raymond Philbrick will contact agencies in these buildings for interviews as part of this process.

5. ***All other buildings***—For the balance of buildings where no projects are being done or planned to qualify for SIBF, an audit must be conducted that may result in a need for capital improvements. After October 1, 1999, requests can be directed to Raymond Philbrick at DPW (713-5811) who will assist in seeking funding. Funding for security improvements will be provided based on the established risk classification and availability.

**Note:* The above does not apply to the following exemptions: Department of Transportation mass transit, marine and aviation facilities, the State Capitol and the Legislative Office Building and related facilities, facilities under the care and control of the University of Connecticut or constituent units of the state system of higher education, Judicial Department facilities, Department of Public Safety facilities, Military Department facilities, Department of Corrections facilities, Department of Children and Families client occupied facilities, and facilities occupied by the Governor, Lieutenant Governor, Attorney General, Comptroller, Secretary of the State and Treasurer. For the purposes of this section, the term “Judicial Department” does not include the courts of probate, the Division of Criminal Justice and the Public Defender Services Commission, except where they share facilities in state-maintained courts.

Administrative improvements

During the audit process, DPW will be reviewing each agency's procedures and practices. Some relatively inexpensive examples of actions to improve security in an office and/or building include the following:

- Ensure that responsibility for building security is clear.
- Post a security guard at the main entrance or at the entrances to specific offices.
- Issue photo identification cards and direct employees to wear them at all times.
- Assign temporary passes to visitors.
- Implement a sign in and out process.
- Have your reception desk call to confirm appointments for the offices of the agency head, deputies and HR, at a minimum.
- Where possible, provide an escort for visitors, to and from their destination.
- Install silent, concealed alarms at reception desks as a minimum precaution.
- Take entry and re-entry precautions. Many agencies have a standard practice of collecting ID badges and building passes or keys when employees leave their job. Internal security should also be notified when a termination occurs.
- Have a list of emergency phone numbers for your building available. Include internal building security, fire, ambulance, and police. Many agencies distribute this information to their employees on an index card, which is kept close to each phone for easy reference. Some agencies access building security or the state police by speed dialing.
- Most buildings have an emergency evacuation plan in place. Review this and ensure that people have a clear understanding of where to exit and how to regain entry. DPW will be reviewing such plans during the audit process.

Use existing safety committees as a resource when you assess your current situation. Obtain feedback from employees by using a survey and/or meeting with them to obtain their input. If there are multiple tenants in your facility or facilities, you are encouraged to coordinate your activities with them.

Capital improvements

More extensive actions can be taken if needed. DPW has found that items below may require some building modifications and/or interagency cooperation and coordination. Some improvements that have already been implemented in state facilities are as follows:

- Ensuring that guards have a clear view of employee entrances at all times.
- Securing entry areas with appropriate security devices, including but not limited to controlled card access, lighting, closed circuit monitoring devices, and metal detectors where appropriate.
- Separating employees from visitors where possible. Rearranging office furniture to ensure that front-line staff that come in daily contact with members of the public, clients, or customers, are surrounded by "natural" barriers such as desks or countertops.

- Providing a means for employees to contact internal security quickly from within a building where possible.
- Providing a means for guards to contact local law enforcement quickly. There should be a crisis communication procedure among key personnel and security providers, involving intercoms, telephones, duress alarms, and other concealed means of communications.
- DPW is pursuing the implementation of a statewide card access system. In the meantime, agencies may wish to consider upgrades that include an access control combination lock on access doors.
- Periodically inventory, reissue, and reassign control badges and access passes.
- Mount closed circuit television cameras and adequate lighting to monitor entrances and exits and customer service areas.
- Consider security needs for parking lots, waiting areas and other specific office areas.

Agencies in buildings that require a level of intervention with significant capital improvements should have an audit first.

Other support services

The Department of Public Safety is pursuing legislation to regulate security guard services. This would result in the upgrading of these services, mandated training requirements contingent upon risk and need, etc. Currently, the payment for such services is the responsibility of individual agencies; with the exception of DPW managed buildings. It is expected that this practice will continue.

There are several items in the appendices being piloted in DPW buildings. These are examples of tools to assist an agency or building in dealing with workplace violence situations:

- An employee safety manual, *DPW Employee Safety Awareness Manual*, addressing such issues as fire, bomb threats, emergency evacuation plans (**Appendix I**). Appendix I to be available in the future.
- Draft building lockdown procedures (**Appendix H**). Guidelines for full and partial lockdowns will be addressed in briefings with agency heads, building superintendents, property managers, and on site security personnel.
- It is critical to have a coordinated response to any situation involving a threat. A contact tree for each state owned building should contain, at a minimum, names and numbers of key tenants, the local state police troop, the property manager, on-site superintendent, and on-site security. An example of such a tree is **Appendix C**.
- Additional items relevant to workplace security, such as computer security and the need to safeguard systems from tampering or sabotage, will be addressed at a later time.

Support

Department of Administrative Services

Training and Employee Assistance Program (EAP)

Training as a resource for preventing workplace violence

Training is one of the most effective ways to help employees learn how to react to and report incidents of violence as well as intimidating, threatening and other disruptive behavior. In addition, training is an essential tool to help employees identify whom within their agency they can turn to for help in resolving potentially violent situations. Employees seek assistance much earlier when they know who can help them. Most importantly, training provides an opportunity for employees to understand how “workplace wellness” is the most effective tool in preventing workplace violence.

In addition to general employee training, supervisory training is extremely important in the development of sound approaches to creating a healthy, productive workplace to prevent potentially violent situations. Understanding effective interventions may be the difference between a difficult situation and a violent situation.

EAP as a resource for preventing workplace violence

The Employee Assistance Program (EAP) plays an integral part in the planning and implementation of workplace violence prevention programs. It provides an essential link to workplace health and safety. The EAP can and should be involved in prevention efforts and should participate as a member of the Threat Assessment Team for prevention, incident response and organizational recovery.

EAPs have expanded their scope of services since their early beginnings of assessment, referral, and follow-up services particularly as related to occupational alcoholism. Employee Assistance Programs now include services focusing on personal or work related problems of employees. As such, it is reasonable and desirable to have EAP involvement in related organizational needs, particularly workplace violence prevention programs.

Specifically, Employee Assistance Programs play a key role in three significant areas.

1. ***Prevention***—through promotion of the EAP by senior management; for information dissemination; involvement in organizational change; for training on a variety of topics related to anger management and conflict resolution, etc.; and the availability of EAP staff for referral and consultation.
2. ***Response/intervention***—in critical incidents for victims and/or perpetrators providing critical incident stress debriefing functions.
3. ***Organizational recovery***—providing guidance to management following a workplace violence incident.

Support

Department of Mental Health and Addiction Services

Behavioral Health Services

Support services before and after traumatic events

Any successful effort to manage workplace violence will have as one of its components behavioral health training and services for employees as well as support services for staff who have been victims of violence or who have witnessed traumatic events in the workplace.

DMHAS is able to offer support to this effort in several different dimensions:

- DMHAS has a well-developed capacity for critical incident stress management. This process, described more fully in the organizational recovery section, provides support and education to victims of trauma. This service has been provided to DMHAS employees for several years in many of its facilities after assaults by clients or other traumatic events. In addition, DMHAS has coordinated the responses to other organizations after workplace violence incidents. This service is available to any state employee experiencing an act of workplace violence that results in victim or bystander trauma.
- Expertise in mental health issues is also important in order to recognize the potential for violence in the workplace, especially for staff in Human Resources. Training may assist staff in recognizing mental illness, recognizing and managing violent situations, employee selection, and other aspects of workplace violence prevention.
- Expertise in substance abuse prevention and management is also available. As noted in the prevention section, a history of substance abuse problems is frequently noted in persons who engage in violent behavior in the workplace. Substance abuse prevention programs can be helpful in assisting HR and other staff in recognizing when employees have addiction problems, how to help, and how to encourage employees to get help.

In general, direct behavioral health services to employees are best managed in the context of the Employee Assistance Program. The EAP provider can provide such services in confidence, can assist employees in getting access to community services, and can assist staff in getting ongoing behavioral health services through their employee health insurance plans.

Support

Department of Public Safety

DPS is committed to working with other agencies to help provide a safe work environment. Several initiatives are underway:

- DPS and DMHAS are working together to prevent individuals who possess a pistol permit and are committed by the Probate Court from obtaining a firearm.
- DPS is pursuing legislation to regulate the security guard industry. The regulations are to mandate training of security guards prior to deployment and to mandate site-specific in-service training. The goal is to upgrade the standards and the quality of these services before an agency signs a contract for such services.
- DPS provides on-site trooper coverage on an as-needed basis. Many agencies have already availed themselves of this service.

Emergency situations

DPS provides support services in emergency situations. All troops are staffed 24 hours per day. When 911 is dialed, the local police authority (state or local police) will respond. Below is a suggested protocol to help the HR office obtain assistance from the police.

- State the nature of your emergency (*e.g.* violent incident, medical, fire, etc.)
- Identify yourself to the responding officers.
- Provide as much detail as possible (*e.g.* persons injured, identity of the person causing the emergency if known, their location in the building, description of clothing, etc.)
- The police will notify other emergency services as necessary, such as ambulance and fire services, major crimes unit, and any other appropriate personnel.

Non-emergency (threatening) situations

Often, DPS receives calls from agency representatives who are concerned a situation may escalate into violence. These may include situations where employees have observed or heard threatening or intimidating comments or behavior, disciplinary and/or grievance hearing, and workers compensation hearings. In those situations, follow the procedures outlined in this manual. (See page 21.) DPS support can be provided as indicated below.

- Anyone with a concern should contact the agency's HR office. The HR office should ensure they file an agency incident report to begin the tracking history of the complaint.
- In the course of following the response procedures in this manual, the HR office may wish to obtain advice directly from DPS. The HR office may direct situational questions to a supervisor at their local troop for a suggested course of action.

State Police Troops 24-hour toll free (800) numbers

A	Southbury	(800) 376-1554
B	Canaan	(800) 497-0403
C	Tolland	(800) 318-7633
D	Danielson	(800) 954-8828
E	Montville	(800) 953-7747
F	Westbrook	(800) 256-5761
G	Bridgeport	(800) 575-6330
H	Hartford	(800) 968-0664
I	Bethany	(800) 956-8818
K	Colchester	(800) 546-5005
L	Litchfield	(800) 953-9949

*Note: A map of the State Police troops is included as **Appendix B**.*

- A trooper or a member of the criminal investigation unit from the local troop will respond to complaints or requests for assistance from the HR person. Their primary role is to conduct possible criminal complaint investigations.
- Pre-employment background checks may be conducted by DPS. These will require a memorandum of understanding (MOU) between the agencies. The MOU will establish the nature and depth of the background investigation (*i.e.* prior employment, claimed education, personal history, criminal history, military service, credit, print verification, etc.).
- Some agencies have an arrangement with DPS for trooper coverage at their facilities. The HR office can recommend this to the agency head if deemed necessary. This also requires a MOU between the agencies.

Legal Considerations

This section addresses some areas of potential risk such as employer liability, workplace safety issues such as “reasonable security precautions,” liability for independent contractors, harassment issues, ADA, concerns regarding hiring, supervision and retention, defamation, and so forth. These issues will be addressed in DAS sponsored training and may be supplemented by training by the Office of the Attorney General. Should the HR office have any legal questions concerning the rights and responsibilities under the procedures set forth in this manual, contact your representative within the Office of the Attorney General. Should the legal question involve a possible criminal issue, HR should contact the Office of the Chief State’s Attorney.

Appendices

- A. State of Connecticut Violence in the Workplace Prevention Policy (blank form)
- B. Map of State Police Troops
- C. Contact Tree for 165 Capitol Avenue (Sample)
- D. Contact Card (Sample)
- E. Security-Related Expenditures Report (Sample)
- F. List of State Agencies and Human Resource Professionals
- G. How to Conduct an Investigation
- H. Draft Building Lockdown Procedures for 165 Capitol Avenue (Sample)
- I. *Employee Safety Awareness Manual* for 165 Capitol Avenue (To be available in the future)

(to be printed on agency letterhead)

State of Connecticut

Violence in the Workplace Prevention Policy

Issued by Governor John G. Rowland
August 4, 1999

The State of Connecticut adopts a statewide zero tolerance policy for workplace violence. Therefore, except as may be required as a condition of employment—

- ☐ No employee shall bring into any state worksite any weapon or dangerous instrument as defined herein.
- ☐ No employee shall use, attempt to use, or threaten to use any such weapon or dangerous instrument in a state worksite.
- ☐ No employee shall cause or threaten to cause death or physical injury to any individual in a state worksite.

Weapon means any firearm, including a BB gun, whether loaded or unloaded, any knife (excluding a small pen or pocket knife), including a switchblade or other knife having an automatic spring release device, a stiletto, any police baton or nightstick or any martial arts weapon or electronic defense weapon.

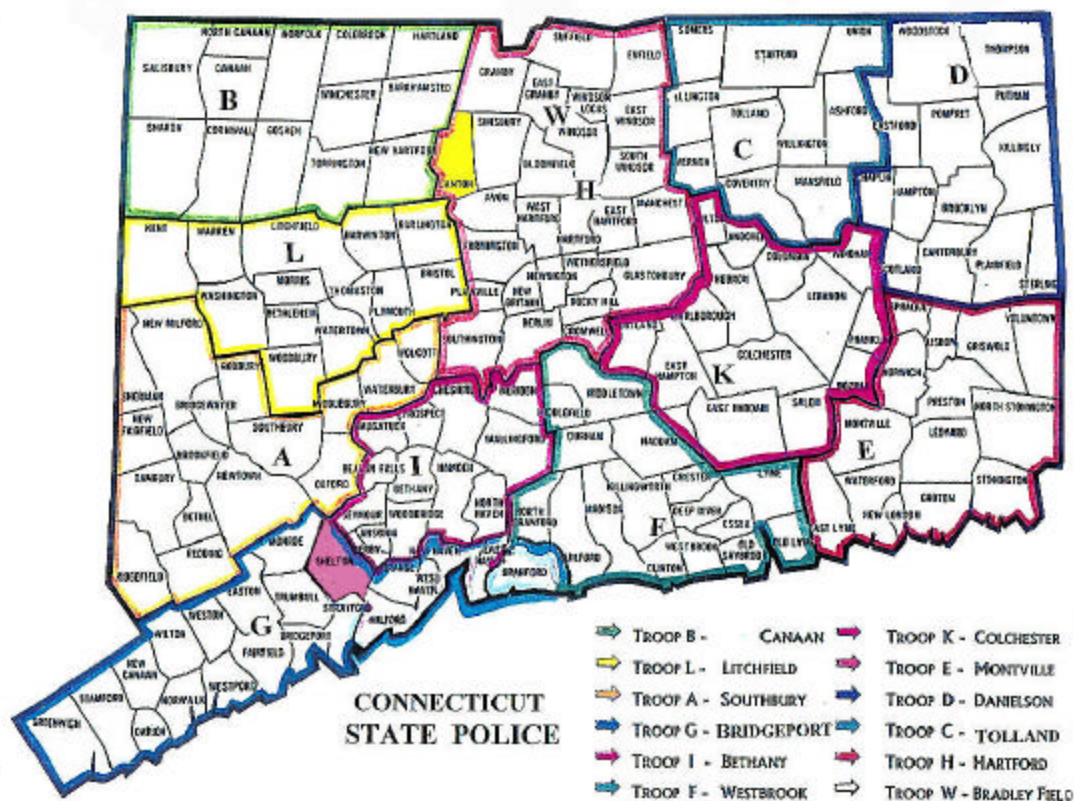
Dangerous instrument means any instrument, article, or substance that, under the circumstances, is capable of causing death or serious physical injury.

Violation of the above reasonable work rules shall subject the employee to disciplinary action up to and including discharge.

Any employee who fears for their personal safety or for the safety of others should contact building security at (phone) for situations that require immediate attention or **call police at 911.**

Contact your supervisor or the Human Resource office, (name) at (phone) for emergency and non-emergency situations.

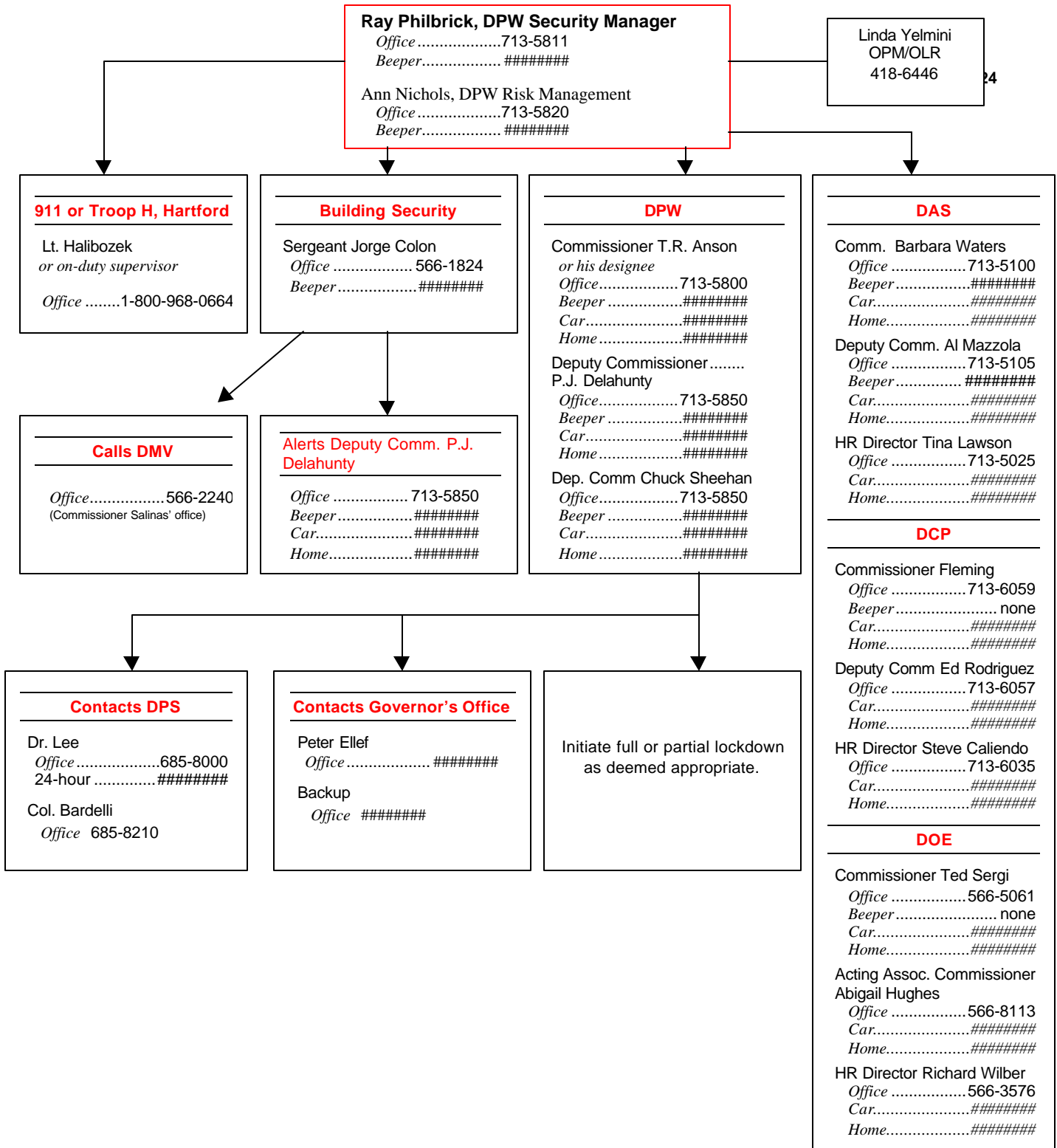
Connecticut State Police Troops



State Police Troops 24-hour toll free (800) numbers

A. Southbury.....	(800) 376-1554
B. Canaan	(800) 497-0403
C. Tolland.....	(800) 318-7633
D. Danielson.....	(800) 954-8828
E. Montville.....	(800) 953-7747
F. Westbrook	(800) 256-5761
G. Bridgeport.....	(800) 575-6330
H. Hartford.....	(800) 968-0664
I. Bethany	(800) 956-8818
J. Litchfield.....	(800) 953-9949

165 Capitol Avenue Contact Tree



DPW Workplace Violence Emergency Contact List

DPW WORKPLACE VIOLENCE EMERGENCY CONTACT LIST	
Commissioner T.R. Anson	
<i>Office</i>	xxx-xxxx
<i>Beeper</i>	xxx-xxxx
<i>Car</i>	xxx-xxxx
<i>Home</i>	(860) xxx-xxxx
Deputy Comm. P.J. Delahunty	
<i>Office</i>	xxx-xxxx
<i>Beeper</i>	xxx-xxxx
<i>Car</i>	xxx-xxxx
<i>Home</i>	(860) xxx-xxxx

Department of Public Works	
WORKPLACE VIOLENCE EMERGENCY CONTACT LIST	
Hartford Police, Fire, Ambulance911	
Building Security xxx-xxxx	
State Police, Troop H 1-800- 968-0664	
Bill Andrews, HR	<i>Office</i> xxx-xxxx
	<i>Home</i> (860) xxx-xxxx
Ray Philbrick, Sec. Coord.	<i>Office</i> xxx-xxxx
	<i>Home</i> (860) xxx-xxxx
Elizabeth Robinson, EAP xxx-xxxx

Appendix E

Security-Related Expenditures Report March 1998 – January 1999

(Sample)

A	B	C	D	E	F		H	I	J	K	L	M	N	O	P	Q	R	S	T
			ADDS OR UPGRADES												RECONFIGURE PROCEDURES				
	ADDRESS	TOWN	Security	DATE	Cameras	DATE	Locks/	DATE	Card	DATE	Panic	DATE	Exterior	DATE		I.D.	DATE	Revised	TOTAL
			Personnel				Alarms		Access		Buttons		Lighting		Sign-In	Badges		Post Orders	
1	BRIDGEPORT PKG GAR.	BRIDGEPORT																	0
2	CAPITOL AVE 410-474	HARTFORD			350	May-98			600	Jun-98					X	X	Jun-98	Apr-98	950
3	CAPITOL AVENUE 165	HARTFORD	16,640	Oct-98	5,983	Dec-98												Apr-98	22,623
4	CAPITOL AVENUE 340	HARTFORD																	0
5	CLINTON STREET 10	HARTFORD																	0
6	COUNTRY CLUB ROAD 1111	MIDDLETOWN																	0
7	EAST ST 880 (TROOP G)	COLCHESTER																	0
8	ELM STREET 79	HARTFORD							4,095	Jul-98						3,495	Jul-98		7,590
9	FAIRFIELD HILLS	NEWTOWN																	0
10	FARMINGTON AVENUE 92	HARTFORD											505.36	Aug-98					505
11	FOLLYBROOK BLVD 200	WETHERSFIELD																	0
12	FRANKLIN SQ 10	NEW BRITAIN																	0
13	GRAND STREET 21	HARTFORD			2,401						1,093	Jul-98			Jul-98				3,494
14	HUDSON ST 505	HARTFORD	48,800	Mar-98											Jun-98	X	Oct-98	May-98	48,800
15	NORWICH HOSPITAL	NORWICH																	0
16	OLD HARTFORD ROAD 15	COLCHESTER																	0
17	ORAL SCHOOL RD 240	MYSTIC					900	Jun-98											900
18	PROSPECT AVE 990	HARTFORD																	0
19	RIDGE ROAD 170	WETHERSFIELD																	0
20	SHERMAN STREET 110	HARTFORD					988	May-98											988
21	SHORE ROAD (SEASIDE)	WATERFORD																	0
22	SHUTTLE RD 11	FARMINGTON							120,000	Nov-98									120,000
23	SIGOURNEY ST 25	HARTFORD	21,000	Mar-98															21,000
24	TRINITY STREET 30	HARTFORD	21,000	Apr-98															21,000
25	TRINITY STREET 18-20	HARTFORD					2,700	Apr-98											2,700
26	UNDERCLIFF ROAD 1	MERIDEN						Nov-98											0
27	WASHINGTON ST 60	HARTFORD					50	Jun-98										Apr-98	50
28	WASHINGTON ST 80	HARTFORD																May-98	0
29	WEST MAIN STREET 41	WATERBURY																	0
30	WEST MAIN STREET 395	WATERBURY	2,400	Jun-98			600	Dec-98											3,000
31	WEST THAMES 401	UNCAS																	0
32	WINDSOR AVENUE 9	HARTFORD																	0
33	WOLCOTT HILL 24	WETHERSFIELD																	0
34	WOLCOTT HILL 38	WETHERSFIELD					1,200	Sep-98											1,200
35	WOODLAND STREET 39	HARTFORD									1,000	Apr-98				X	Dec-98		1,000
		TOTALS	109,840		8,734		5,238		124,695		1,093		505.36			3,495			255,800
	Other Miscellaneous: Escort upon request of parking garages; improve seating for security personnel so visitors don't see just tops of heads; security person stands in front of console to direct visitors; some locations inverted cameras to see people entering instead of exiting; redirected cameras; all locations held monthly services meetings that reviewed and implemented changes with agency participation; UNICCO requested to hold "Violence in the Workplace" training for UNICCO staff.																		

Human Resource Professionals

DEPARTMENT/HR CONTACT	PHONE	DEPARTMENT/HR CONTACT	PHONE	DEPARTMENT/HR CONTACT	PHONE
Dept. of Administrative Services-HRBC Tina Lawson.....(860) 713-5025		Ethics Commission Alan Plofsky, Ex. Director.....(860) 566-4472		Psychiatric Security Review Board Denise Tyburski.....(860) 418-6868	
Department of Agriculture Emilie Andrews.....(860) 713-2501		Commission on Fire Prevention Peter O'Neil.....(860) 627-6363 x234		Department of Public Health C.T. Carson.....(860) 509-7176	
Connecticut Agriculture Experiment Station John F. Anderson.....(203) 974-8440		Freedom of Information Commission Mitchell Pearlman.....(860) 566-5682		Department of Public Safety Ron Savitsky.....(860) 685-8200	
Asnuntuck Community Technical College Joseph Simanski Jr.....(860) 253-3050		Gateway Community Technical College Lucy Brown.....(203) 789-7023		Department of Public Safety/Firearms Permit Susan Lizée (DAS).....(860) 713-5193	
Office of the Attorney General Richard Campbell.....(860) 808-5323		Office of the Governor Peter Ellef.....(860) 524-7371		Department of Public Utilities Control James Tomasek.....(860) 827-2657	
Department of Banking Mary Narciso.....(860) 240-8161		Department of Higher Education Marlene Artibani.....(860) 947-1833		Department of Public Works William Andrews.....(860) 566-7469	
Capitol Community Technical College Rubin Fisher.....(860) 520-7812		Historical Commission John Shannahan.....(860) 566-3005		Quinebaug Valley Comm.- Tech. College John Boland, Dean.....(860) 774-1160	
Charter Oak College/Acad Awards Helen Gilberto.....(860) 832-3898		Housatonic Community Technical College Brenda Alexander.....(203) 332-5166		Department of Revenue Services Anne Alling.....(860) 297-5701	
Chief Medical Examiner Thomas Baziak.....(860) 679-3980		Comm. on Human Rights and Opportunities Susie Carlson.....(860) 541-3416		Office of the Secretary of State Deb Mainville.....(860) 509-6171	
Department of Children and Families Wanda Estrella.....(860) 550-6490		Insurance Department Crystal Ross.....(860) 297-3947		Department of Social Services Rudolph Jones.....(860) 424-5060	
Connecticut Siting Council Joan Adajian.....(860) 827-2935		Judicial Department Robert Coffey.....(860) 722-1627		Soldiers', Sailors' and Marine Fund Elizabeth Rodriguez.....(860) 953-4345	
Board of Trustees Comm. Technical Colleges Corrine Suple.....(860) 725-6630		Department of Labor W. Lee Palmer.....(860) 263-6532 or Tom Malecky,.....(860) 263-6685		Special Revenue, Division of Deb Prazner.....(860) 594-0513	
Office of the Comptroller Toby Bates.....(860) 702-3320		Connecticut Lottery Corporation Karen Mehigen.....(860) 348-4021		Statewide Police Training Council T. Wm. Knapp.....(203) 238-6505	
Connecticut Innovations Sarah French.....(860) 563-5851		Manchester Community Technical College Deborah Wilson.....(860) 647-6024		State Insurance Purchasing Board Daria Cirish.....(860) 702-3432	
Consumer Council Eugene Koss.....(860) 827-2902		Dept. of Mental Health and Addiction Svcs. Patricia Speicher Werbner.....(860) 418-6873		State Library David Peck.....(860) 566-5814	
Department of Consumer Protection Steve Caliendo.....(860) 713-6035		Department of Mental Retardation Dawn Closs-Harris.....(860) 418-6122		State Properties Review Board Personnel Administrator.....(860) 566-4608	
Department of Correction Vicki Arpin.....(860) 692-6806		Middlesex Community Technical College Ida Best.....(860) 343-5751		Connecticut State University System Ernest Marquez.....(860) 493-0032	
County Sheriff's Office Pat Lempicki.....(860) 566-7109		Military Department Anthony Lewis.....(860) 524-4987		Teachers' Retirement Board William Sudoll.....(860) 241-8402	
Criminal Justice Division Susan M. Claus.....(860) 258-5862		Department of Motor Vehicles Dale Ursin.....(860) 263-5268		Three Rivers Community Technical College Louisa Summa.....(860) 823-2808	
Commission on Deaf and Hearing Impaired Stacie Mawson.....(860) 424-5055		Naugatuck Community Technical College Mary Maceachern.....(203) 575-8043		Department of Transportation Fred Sanders.....(860) 594-3100	
Dept. of Economic and Community Dev. Amelia Brennan.....(860) 270-8022		Northwestern Community Technical College Margot Kimmel.....(860) 738-6325		Office of the Treasurer Theodore Janiszewski.....(860) 702-3144	
Board of Ed and Services for the Blind Steve Shapiro.....(860) 602-4034		Norwalk Community Technical College Anita Schmidt.....(203) 857-7242		Tunxis Community Technical College Jackie Taraborelli.....(860) 679-9597	
Department of Education Richard Wilber.....(860) 566-3576		Board of Parole Joel Schweidel.....(860) 692-7408		UCONN Barbara Proux.....(860) 486-0420	
Election Enforcement Commission Jeffrey Garfield.....(860) 566-1776		Office of Policy and Management Laila Maidelis.....(860) 418-6324		UCONN Health Center Emmy Van Stolk.....(860) 679-2427	
Office of Emergency Management Daniel McGuire.....(860) 566-3180		Connecticut Protection and Advocacy for Persons with Disabilities Nancy Swanton.....(860) 297-4368		Office of Veterans' Affairs Eileen Cantin.....(860) 721-5813	
Department of Environmental Protection Hal Peck.....(860) 424-3006/3156				Workers' Comp Commission Sandy Cunningham.....(860) 493-1518	

How to Conduct an Investigation

Because violations of this workplace violence policy must be treated seriously and may result in disciplinary action, investigative procedures must be done fairly, consistently and recorded accurately on a case-by-case basis. The following guidelines are intended to aid the HR office in conducting a sound investigation. Upon notification by an employee of a threat of danger, violence, actual violence, etc., the following **P.R.O.C.E.D.U.R.E.S.** will apply.

P—Provide immediate notification of the threat to the intended harmed person (if they are not knowledgeable of the threat) that the threat has been made, the exact nature of the threat, and the identity or the person who made the threat. Thereafter, notify supervisors, security, and or law enforcement as appropriate.

R—Resolve complaints and disputes in a timely manner. Separate subjects and victims as appropriate for their safety.

O—Obtain complete details of the complaint from the victim and witnesses.

C—Conduct a preliminary investigation to determine the immediacy and/or the severity of the violence and/or threat of violence and make a determination concerning the type of continuing investigation to be conducted, *i.e.*, informal discussions or full-scale investigation.

E—Evidence preservation is critical.

D—Document every aspect of the investigation. Signed statements should be obtained from victim(s), witness(es), and the perpetrator, if possible.

U—Understand the facts completely, the nature of the complaint, the violation of policy, and all of the information gathered prior to concluding the investigation.

R—Report to the Threat Assessment Team and agency head on the status of the investigation.

E—Evaluate facts gathered; ensure that the analysis is perceived as being fair and impartial overall.

S—Secure opinion from the Office of the State’s Attorney if criminal charges are being considered. If disciplinary action is contemplated, contact OLR for advice. Any action must be defensible in the event the decision is subsequently challenged.

How to conduct the interviews

The following questions can aid the HR office in gaining the needed information to properly conduct the investigation. Begin the interview process with the complainant who is usually the victim. You should first consider whether the complainant is in immediate danger or, if not, who is in immediate danger and what action should be taken, or avoided, to ensure safety.

You may have a complaint filed by someone other than the victim; it could be a witness or someone else. The questions below can be asked of **all parties**.

- ☐ What happened, or what was said, or what gesture was made, etc.?
- ☐ Who caused it to happen?
- ☐ Where did it happen?
- ☐ Was anyone else present? (Get names.)
- ☐ When did it happen?
- ☐ Is there corroborative evidence?
- ☐ Who did it happen to?
- ☐ Document all comments.
- ☐ Why did it happen?
- ☐ Get a signed statement.

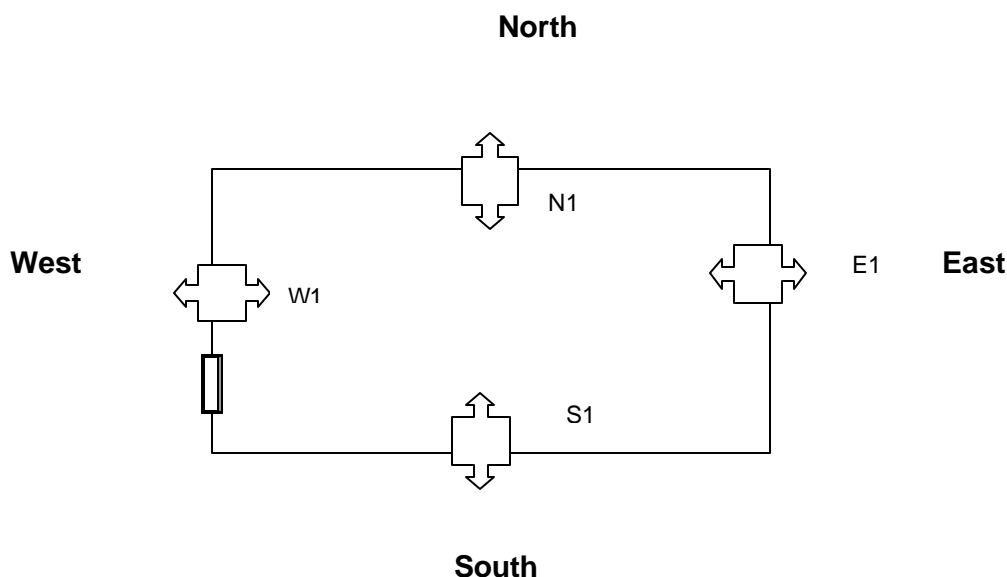
Some specific questions you should ask the complainant if he/she is **the victim** are as follows:

- ☐ Was your supervisor notified?
- ☐ Was your union representative notified?
- ☐ Were you alone when the incident occurred?
- ☐ Were you singled out or was the violence directed at more than one person?
- ☐ Do you have any idea why this happened?
- ☐ Was the assailant involved in previous incidents? If so, describe.
- ☐ Has this type or similar incident(s) every happened to you or your co-workers previously? If yes, please describe.
- ☐ If you were injured, were you treated at the scene? If yes, by whom? Were you transported to a hospital? If so, by what means of transportation? What medical facility did you receive treatment at?
- ☐ Were the police notified? If so, what police department? Did they respond to the scene at the time of the incident? If yes, please provide approximate time of arrival. Was a police report filed? If so, please provide a report number and if available attach a copy of the report.

You may wish to interview the victim at regular intervals following the incident as well:

- ☐ Are you still under doctor's care?
- ☐ Have you lost any workdays? If yes, how many?
- ☐ Have you received any counseling or other similar support since the incident? If yes, please describe.
- ☐ What, if anything, do you believe can be done in the future to prevent similar incidents from occurring?
- ☐ Are you aware of any measures that are being put into place or have been put into place to prevent similar incidents? If so, please describe.

Lockdown procedure for XXXXXXXXXXXXXXX



- Only Commissioner Anson (or his designee) can issue a full lockdown order at XXXXXXXX. A situation warranting this meets several criteria for high risk:

- Imminent danger to the people in the building
- Perpetrator with history and capability to be violent
- Presence of specific or nonspecific targets in the building

(We will further refine the definition of a high-threat situation.)

- During a full lockdown, all entrances are closed to incoming and outgoing traffic. See above diagram.

- Guards will be stationed at all building entrances:

Parking lot.....	Guard A
East 1 (E1)	Guard B
South 1 (S1)	Guard C
West (W1)	Guard D
North (N1)	Guard E

The purpose of deploying guards to these locations is to monitor the location to ensure no one leaves the building, determine whether someone is seeking entry, and maintain communication with the main security station.

**A list for coverage during the second and third shift is available..*

4. Contracted guards may also be available to assist.
5. Guards may be equipped with two-way radio cell phones for internal communication.
6. The agency heads in the building may also have a set of phones to enable them to speak directly with building security and each other.
7. It is recommended that each agency prepare an internal contact tree to ensure that there is a vehicle to communicate agency-wide in case it is needed. This can be done via the management structure or by room.
8. To expedite this, software enabling a global page to all or selected staff may be available. This will enable the agency head to notify managers individually or all of his/her managers simultaneously.
9. Buildings with a public address system typically have a taped recording in place for fire emergencies, providing instructions for people in the building. Three modifications may be made to use this system effectively in a lockdown situation:
 - determine a signal for “lockdown”
 - a taped recording may be deployed with instructions and procedures for people in the building to follow; and
 - several remote locations in the building with restricted access to enable building security to activate the building’s PA system will be beneficial.
10. Arrangements may be made to acquire pictures. (Contact Ray Philbrick)
11. Communications must be coordinated in a lockdown situation. Only the police will be providing direction via the PA system, phone, and pagers.
12. During a lockdown, managers will usher anyone in the hallways and/or public areas to the nearest room and then managers will lock the doors and, as much as possible, move themselves and all personnel away from doors and windows.
13. Managers will search restrooms nearest their rooms if they are safely accessible and have anyone in them join the manager in his/her room.
14. Managers will take attendance.
15. All staff will be instructed to get on the floor at all times.
16. No television, radios, private cell phones, or Internet should be used by anyone.
17. There will be no restroom breaks.
18. Everyone needs to be prepared to stay in “lockdown” for an extensive period of time.
No one is to be released until directed. Follow the directions provided over the PA system or pagers indicating that the “emergency is over.” These will be from the police.
19. If directed to exit the building, no one will be allowed to go and obtain belongings.
20. A set of procedures will be issued to all staff and briefings will be provided to managers by building security to each agency. The procedures will also be included in the *Tenant Safety Manual*.
21. “Lockdown” drills will be conducted on a regular basis

DPW may be able to provide assistance in developing a site specific lockdown procedure. Contact Raymond Philbrick at 860- xxx-xxxx for additional information